

CHECKLIST

To assist you in being sure you have submitted all of the required items, please check them off on this list.

1. License fees for applications received on or after 8/1/06 will be issued effective 10/1/06 through 9/30/08. All fees are non-refundable. Please make your COMPANY check payable to "Treasurer, State of Connecticut."

\$800 for a Lender/Broker or Correspondent Lender/Broker License _____

\$400 for a Broker Only License _____

\$100 for each Loan Originator _____

2. The completed Application. (Review carefully for accuracy and completeness). _____

3. Attachment which reflects a chronological listing of experience of the person with supervisory authority over the lending or brokerage activities of the location to be licensed. _____

4. The completed "Application for Registration of Loan Originators" if applicable. ***Reminder** "Originator" does not include an officer, if the licensee is a corporation; a general partner, if the licensee is a partnership; a member, if the licensee is an LLC; or a sole proprietor, if the licensee is a sole proprietorship. **These individuals do not need to register as loan originators or pay a registration fee.** _____

5. Financial statement reflecting net worth, not more than 6 months prior to filing of the application. (**choose one**)

a. Financial statement form provided by the department _____

b. Unaudited financial statement prepared by a CPA and attestation form signed by the proprietor, general partner, or duly authorized officer, trustee or member before a notary public _____

c. Audited financial statement _____

6. Certificate of Authority, Articles of Incorporation or Organization, Partnership Agreement and Bylaws, whichever is applicable _____

7. Out-of-State applicants **ONLY**: Documentation evidencing that the applicant is authorized to do business in the State of Connecticut _____

8. A completed surety bond _____

RETURN THIS FORM WITH YOUR APPLICATION

Effective through 9/30/08